


**Form 1449 (Modified)**
**Information Disclosure  
Statement By Applicant**

(Use Several Sheets if Necessary)

Atty Docket No. HLAVP002D1  
 Application No.: 10/623,182  
 Inventor E. Hlavka et al.  
 Group 3736  
 Filing Date July 18, 2003  
 Mailing Date November 6, 2003

**U.S. Patent or Published Documents**

Examiner Initial	No.	Patent No.	Date	Patentee	Class	Sub-Class	Filing Date
✓		4,042,979	8/23/77	Angell	3	1.5	7/12/76
		4,055,861	11/1/77	Carpentier et al.	3	1.5	4/9/76
		4,489,446	12/25/84	Reed	3	1.5	7/14/82
		4,917,698	4/17/90	Carpentier et al.	623	2	12/22/88
		5,041,130	8/20/1991	Cosgrove et al.	623	2	
		5,061,277	10/29/91	Carpentier et al.	623	2	9/2/88
		5,104,407	4/14/92	Lam et al.	623	2	9/20/90
		5,201,880	4/13/93	Wright et al.	623	2	1/27/92
		5,306,234	4/26/1994	Johnson	604	49	
		5,306,296	4/26/94	Wright et al.	623	2	8/21/92
		5,360,444	11/1/94	Kusuhara	623	2	12/9/93
		5,450,860	9/19/95	O'Connor	128	898	8/31/93
		5,669,919	9/23/1997	Sanders et al.	606	148	
		5,571,215	11/5/1996	Sterman et al.	623	66	
		5,593,424	1/14/97	Northrup	606	232	8/10/94
		5,607,471	3/4/97	Seguin et al.	623	2	8/21/95
		5,640,955	6/24/97	Ockuly et al.	128	642	2/14/95
		5,674,279	10/7/97	Wright et al.	623	2	6/29/95
		5,682,906	11/4/1997	Sterman et al.	128	898	
		5,716,367	2/10/1998	Koike et al.	606	144	
		5,716,397	2/10/98	Myers	623	2	12/6/96
		5,716,399	2/10/1998	Love	623	2	
		5,776,189	7/7/98	Khalid	623	2	3/5/97
		5,824,066	10/20/98	Gross	623	2	5/21/97
		5,829,447	11/3/1998	Stevens et al.	128	898	
		5,860,920	01/19/1999	McGee et al.	600	374	09/16/1997
		5,868,733	2/9/99	Ockuly et al.	606	10	4/14/95
		5,888,240	3/30/99	Carpentier et al.	623	2	12/3/96
		5,928,224	7/27/1999	Laufer	606	27	
		6,102,945	8/15/2000	Campbell	623	2.37	10/16/98
		6,165,183	12/26/2000	Kuehn et al.	606	139	7/15/98
		6,210,432	4/3/2001	Solem et al.	623	1.15	6/30/99
		6,267,781	7/31/01	Tu	607	113	10/9/99
		6,269,819 B1	8/7/2001	Oz et al.	128	898	
		6,306,133	10/23/01	Tu et al.	606	41	10/2/99
		6,312,447	11/6/01	Grimes	606	219	10/13/99



### Foreign Patent or Published Foreign Patent Application

Examiner Initial	No.	Document No.	Publication Date	Country or Patent Office	Class	Sub-class	Translation	
		WO99/00059	1/7/99	WO			Yes	No
		WO00/03759	1/27/00	WO				
		WO 00/60995	10/19/2000	WO				

### Other Documents

Examiner Initial	No.	Author, Title, Date, Place (e.g. Journal) of Publication
		Liddicoat et al., U.S. Patent Application Pub. No. 2002/0042621 entitled, "Automated Annular Plication for Mitral Valve Repair"
		Oz et al., U.S. Patent Application Pub. No. 2001/0005787 entitled, "Method and Apparatus for Circulatory Valve Repair".
		Grimes, U.S. Patent Application Pub. No. 2002/0026216 entitled, "Devices and Methods for Percutaneous Mitral Valve Repair."
		Goldfarb et al., U.S. Patent Application Pub. No. 2002/0013571 entitled, "Methods and Device for Capturing and Fixing Leaflets in Valve Repair".
		Ockuly et al., U.S. Patent Application Publication No. 2002/0026198 entitled, "Guiding Introducer for Use in the Treatment of Accessory Pathways Around the Mitral Valve Using a Retrograde Approach".
		Zipes, Douglas P. MD, "Ablation of Free Wall Accessory Pathways" 1994 Cather Ablation of Arrhythmias
		<a href="http://medtronic.com/cardiac/heartvalves/duran_band/">http://medtronic.com/cardiac/heartvalves/duran_band/</a>
		Maisano, Francesco et al., "The Double-Orifice Technique as a Standardized Approach to Treat Mitral Regurgitation Due to Severe Myxomatous Disease: Surgical Technique"
		"Anatomical Landscape of Heartport Technology", Heartport Common Stock Prospectus, April 25, 1996, Cardiology Roundtable interviews
		<a href="http://www.hsforum.com/vol2/issue2/1999-4963_tables.html">http://www.hsforum.com/vol2/issue2/1999-4963_tables.html</a>
		<a href="http://www.hsforum.com/vol2/issue2/1999-4963figures.html">http://www.hsforum.com/vol2/issue2/1999-4963figures.html</a>
		Nagy, Zsolt et al., "Mitral Annuloplasty with a Suture Technique" European Journal of Cardio-Thoracic Surgery 18 (2000) 739-740
		Morales, David L.S. et al., "Development of an Off Bypass Mitral Valve Repair" Department of Surgery, Columbia University, College of Physicians and Surgeons, New York, NY

Examiner	Date Considered
<i>Vast</i>	8/9/05

**Examiner:** Initial citation considered. Draw line through citation if not in conformance and not considered.  
Include copy of this form with next communication to applicant.

# ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	METHOD AND APPARATUS FOR PERFORMING CATHETER-BASED ANNULOPLASTY USING LOCAL PLICATIONS						
Application Number :	10/623182						
Confirmation Number:	2680						
First Named Applicant:	Edwin Hlavka						
Attorney Docket Number:	MICO-06B						
Art Unit:	3736						
Examiner:							
Search string:	( 5830224 or 5931818 or 6068637 or 6190353 or 6231587 or 6287317 or 6332089 or 6402781 or 6447522 or 6461366 or 6530952 or 6537314 or 6544230 or 6626930 or 6629534 or 6655386 or 6656221 or 6676702 or 20010049492 or 20020016628 or 20020087169 or 20020087173 or 20020095167 or 20020103532 or 20020169502 or 20020169504 or 20020183836 or 20020183837 or 20020183838 or 20020183841 or 20030069636 or 20030078654 or 20030083538 or 20030105520 or 20030130730 or 20030144697 or 20030171806 or 20030212453 or 20040003819 ).pn )						
<b>US Patent Documents</b>							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
1	5830224	1998-11-03	Cohn et al.		606	167	
2	5931818	1999-08-03	Werp et al.		604	270	
3	6068637	2000-05-30	Popov et al.		606	159	
4	6190353	2001-02-20	Makower et al.	B1	604	95	
5	6231587	2001-05-15	Makower	B1	606	198	
6	6287317	2001-09-11	Makower et al.	B1	606	153	
7	6332089	2001-12-18	Acker et al.	B1	600	424	
8	6402781	2002-06-11	Langberg et al.	B1	623	2.36	
9	6447522	2002-09-10	Gambale et al.	B2	606	108	
10	6461366	2002-10-08	Seguin	B1	606	144	
11	6530952	2003-03-11	Vesely	B2	623	2.18	
12	6537314	2003-03-25	Langberg et al.	B2	623	2.36	
13	6544230	2003-04-08	Flaherty et al.	B1	604	164.12	
14	6626930	2003-09-30	Allen et al.	B1	606	213	
15	6629534	2003-10-07	St. Goar et al.	B1	128	898	
16	6655386	2003-12-02	Makower et al.	B1	128	898	
17	6656221	2003-12-02	Taylor et al.	B2	623	2.11	
18	6676702	2004-01-13	Mathis	B2	623	2.36	

## US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
W	1	20010049492	2001-12-06	Frazier et al.	A1	604	104
	2	20020016628	2002-02-07	Langberg et al.	A1	623	2.36
	3	20020087169	2002-07-04	Brock et al.	A1	606	139
	4	20020087173	2002-07-04	Alfernness et al.	A1	606	151
	5	20020095167	2002-07-18	Liddicoat et al.	A1	606	151
	6	20020103532	2002-08-01	Langberg et al.	A1	623	2.36
	7	20020169502	2002-11-14	Mathis	A1	623	2.11
	8	20020169504	2002-11-14	Alfernness et al.	A1	623	2.36
	9	20020183836	2002-12-05	Liddicoat et al.	A1	623	2.11
	10	20020183837	2002-12-05	Streeter et al.	A1	623	2.11
	11	20020183838	2002-12-05	Liddicoat et al.	A1	623	2.11
	12	20020183841	2002-12-05	Cohn et al.	A1	623	2.36
	13	20030069636	2003-04-10	Solem et al.	A1	623	2.37
	14	20030078654	2003-04-24	Taylor et al.	A1	623	2.36
	15	20030083538	2003-05-01	Adams et al.	A1	600	16
	16	20030105520	2003-06-05	Alfernness et al.	A1	623	2.36
	17	20030130730	2003-07-10	Cohn et al.	A1	623	2.36
	18	20030144697	2003-07-31	Mathis et al.	A1	606	232
	19	20030171806	2003-09-11	Mathis et al.	A1	623	2.36
	20	20030212453	2003-11-13	Mathis et al.	A1	623	2.11
Y	21	20040003819	2004-01-08	St. Goar et al.	A1	128	898

## Remarks

Note: Remarks are not for responding to an office action.

This submission is a Supplemental Information Disclosure Statement. Applicant is also filing a Supplemental Information Disclosure Statement containing the foreign reference by U.S. mail on even date herewith.

## Signature

Examiner Name	Date
	8/9/05